

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231, Attn: Refund Section, Accounting Division, Office of Finance, on

Date: March 29, 2002

By: Sherri L. Ballbach

Sherri L. Ballbach

In Re Application of:	
Anthony G. Martin, et al.	Examiner: Not yet known
Serial No: 10/057,413	Group Art Unit: 2152
Filed: January 25, 2002	
For: SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR PRESENTING INFORMATION TO A USER UTILIZING HISTORICAL INFORMATION ABOUT THE USER	

Commissioner for Patents  
Washington, D.C. 20231  
Attention: Refund Section, Accounting Division, Office of Finance

**REQUEST FOR REFUND**  
**(37 C.F.R. § 1.28(a))**

Dear Examiner:

The status of the inventor entity corresponding to the above-mentioned application was inadvertently marked as large entity. The inventor entity is in fact a small entity as asserted in the enclosed statement.

Accordingly, refund of the amount (\$538.00) that was paid in excess of the fee required for a small entity filing is requested.

The Commissioner is hereby authorized to refund the excess payment to Deposit Account 05-0150.

Date: March 29, 2002

Respectfully submitted,

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043  
Telephone (650) 856-6500  
Facsimile (650) 843-8777

By: V. R. Bhakar  
Vidya R. Bhakar, Esq.  
Attorney for Applicants  
Registration No. 42,323



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: A. Martin et al.

**Examiner:** Not yet assigned

Serial No. 10/057,413

Art Unit: 2152

Filed: January 25, 2002

**Title:** System, Method and Computer Program Product for Presenting Information to a User Utilizing Historical Information About the User

Box Missing Parts  
Commissioner of Patents  
Washington, DC 20231

**RESPONSE TO NOTICE TO FILE MISSING PARTS UNDER 37 C.F.R. 1.53(b)**

Dear Sir:

In response to the Notice to File Missing Parts of Application mailed on February 28, 2002, in the above-identified application, enclosed herewith are the missing parts needed to complete filing of the above-identified patent application. The signed declaration for patent application is enclosed herewith under 37 C.F.R. §§1.27 and 1.16(e).

☒ Small entity status is proper for the assignee under 37 C.F.R. §§1.9 and 1.27.

**The fees associated with the filing of this response are shown below:**

									<b>Fees</b>
Filing Fee									\$ 0.00
Missing Parts Surcharge									\$65.00
Any Additional Claim(s) over 20			x	\$18.00					\$ 0.00
Any Additional Independent Claim(s) over 3			x	\$80.00					\$ 0.00
Multiple Claim(s)			x	\$270.00					\$ 0.00
<input type="checkbox"/> Extension of Time Fee									\$ 0.00
For Large Entity				TOTAL FEE ENCLOSED				=	\$ 0.00
Divide In Half For Small Entity								=	\$ 65.00

- ☐ No additional fee is required for this \_\_\_\_\_.
- ☒ Please charge Deposit Account No. 05-0150 in the amount of \$65.00
- ☒ The Commissioner is hereby authorized to charge any additional fees and credit any overpayments to Deposit Account No. 05-0150
- ☒ Charge any patent application processing fees under 37 C.F.R. 1.17.

Respectfully submitted,

Date: March 29, 2002  
SQUIRE, SANDERS & DEMPSEY L.L.P.  
600 Hansen Way  
Palo Alto, California 94304-1043  
(650) 856-6500

By V. Bhakar  
Vidya R. Bhakar  
Attorney for Applicants  
Reg. No. 42,323

CERTIFICATE OF MAILING

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Date: March 29, 2002

By

Sherri L. Ballbach  
Sherri L. Ballbach

PaloAlto/34091.1

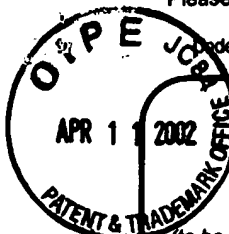
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>Application Number</b>	10/057,413		
	<b>Filing Date</b>	January 25, 2002	
	<b>First Named Inventor</b>	Anthony G. Martin	
	<b>Group Art Unit</b>	2152	
	<b>Examiner Name</b>	Not yet known	
<b>Total Number of Pages in This Submission</b>	9	<b>Attorney Docket Number</b>	50642.00022

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final  <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert to a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Return receipt postcard Notice to File Missing Parts (Part 2) Copy of Request for Refund (sent under separate cover 3/29/02)
<b>Remarks</b>		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

<b>Firm or Individual name</b>	Vidya R. Bhakar Reg. No.: 42,323
<b>Signature</b>	
<b>Date</b>	March 29, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <span style="border: 1px solid black; padding: 2px;">March 29, 2002</span>			
<b>Typed or printed name</b>	Sherri L. Ballbach		
<b>Signature</b>		<b>Date</b>	3/29/02

Surden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



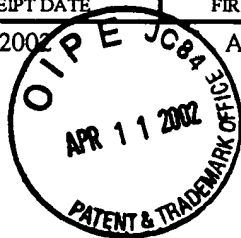


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/057,413	01/25/2002	Anthony G. Martin	50642.00022

30256  
SQUIRE, SANDERS & DEMPSEY L.L.P.  
600 HANSEN WAY  
PALO ALTO, CA 94304-1043



CONFIRMATION NO. 8375

## FORMALITIES LETTER



\*OC000000007559289\*

Date Mailed: 02/28/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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